



## IAPD Report

# BRAD ANTON ROETHLISBERGER

CRD# 2239578

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Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page  
<http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### BRAD ANTON ROETHLISBERGER (CRD# 2239578)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/12/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PACKERLAND BROKERAGE SERVICES, INC.	CRD# 37031	04/04/2023
<b>IA</b>	PACKERLAND BROKERAGE SERVICES, INC.	CRD# 37031	04/04/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	CUSO FINANCIAL SERVICES, L.P.	42132	Green Bay, WI	01/23/2023 - 03/27/2023
<b>IA</b>	CUSO FINANCIAL SERVICES, L.P.	42132	Green Bay, WI	01/23/2023 - 03/27/2023
<b>B</b>	LPL FINANCIAL LLC	6413	GREEN BAY, WI	10/01/2014 - 02/06/2023

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **PACKERLAND BROKERAGE SERVICES, INC.**

Main Address: 432 SECURITY BLVD.  
STE. 101  
GREEN BAY, WI 54313-9709

Firm ID#: 37031

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/04/2023
B FINRA	Invest. Co and Variable Contracts	Approved	04/04/2023
B South Carolina	Agent	Approved	02/05/2025
B Texas	Agent	Approved	11/05/2024
B Wisconsin	Agent	Approved	04/04/2023
IA Wisconsin	Investment Adviser Representative	Approved	04/04/2023

#### Branch Office Locations

##### **PACKERLAND BROKERAGE SERVICES, INC.**

916 WILLARD DRIVE  
SUITE 125 A  
GREEN BAY, WI 54304



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/23/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/05/2004
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/07/1992

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	09/25/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/09/2004

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/23/2023 - 03/27/2023	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	Green Bay, WI
IA	01/23/2023 - 03/27/2023	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	Green Bay, WI
B	10/01/2014 - 02/06/2023	LPL FINANCIAL LLC	CRD# 6413	GREEN BAY, WI
IA	10/01/2014 - 02/06/2023	LPL FINANCIAL LLC	CRD# 6413	GREEN BAY, WI
IA	11/04/2009 - 10/31/2014	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	GREEN BAY, WI
B	06/26/2009 - 10/31/2014	SECURITIES AMERICA, INC.	CRD# 10205	GREEN BAY, WI
B	09/16/1999 - 06/25/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	GREEN BAY, WI
B	04/15/1996 - 08/26/1998	ASSOCIATED INVESTMENT SERVICES, INC.	CRD# 1464	GREEN BAY, WI
B	07/09/1992 - 04/25/1996	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2023 - Present	PACKERLAND BROKERAGE SERIVCES	REGISSTERED REPRESENTATIVE	Y	GREEN BAY, WI, United States
01/2023 - 04/2023	CUSO Financial Services, LP	Registered Representative	Y	San Diego, CA, United States
09/2014 - 04/2023	CAPITAL CREDIT UNION	AVP / Registered Representative	Y	GREEN BAY, WI, United States
09/2014 - 01/2023	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	GREEN BAY, WI, United States



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Help prepare income taxes for about 10 family and friends which I am compensated for.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/14/2002

**Docket/Case Number:** C8A020014

**Employing firm when activity occurred which led to the regulatory action:** ASSOCIATED INVESTMENT SERVICES, INC.

**Product Type:** Other

**Other Product Type(s):** STOCK

**Allegations:** NASD RULES 2110, 2520(F)(9), SECTION 7(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 3(B) OF REGULATION X - RESPONDENT MAINTAINED A CASH DISCOUNT BROKERAGE ACCOUNT AT THE MEMBER FIRM. THE BROKERAGE ACCOUNT WAS OWNED JOINTLY BY RESPONDENT AND HIS WIFE. RESPONDENT BOUGHT AND SOLD SECURITIES IN THE FORM OF SHARES OF STOCK FOR HIS BROKERAGE ACCOUNT. RESPONDENT KNEW OR SHOULD HAVE KNOWN THAT NEITHER HE NOR HIS WIFE HAD SUFFICIENT FUNDS WITH WHICH TO PAY FOR THE STOCK HE PURCHASED AND HE SOLD THE STOCK BEFORE HE MADE FULL CASH PAYMENT FOR THE STOCK. THE NASD ALLEGES THAT EACH TIME RESPONDENT ORDERED THE PURCHASE AND SALE OF STOCK, BUT HE DID NOT HAVE THE MONEY TO PAY FOR AND DID NOT PAY FOR.



RESPONDENT CAUSED THE MEMBER FIRM TO EXTEND CREDIT TO HIM IN VIOLATION OF REGULATION T. THE NASD FURTHER ALLEGES THAT RESPONDENT MADE A PRACTICE OF EFFECTING TRANSACTIONS IN HIS CASH ACCOUNT WHERE THE COST OF THE SHARES OF STOCK PURCHASED WAS MET BY THE SALE OF THE SAME SHARES OF STOCK.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/20/2004
<b>Sanctions Ordered:</b>	Monetary/Fine \$5,000.00 Suspension
<b>Other Sanctions Ordered:</b>	REQUALIFICATION AND COST.
<b>Sanction Details:</b>	NAC DECISION RENDERED ON DECEMBER 15, 2003 WHEREIN NAC UPHOLD THE HEARING PANEL'S FINDINGS THAT RESPONDENT ROETHLISBERGER VIOLATED EXCHANGE ACT SECTION 7(F) AND NASD RULES 2110 AND 2520(F)(9); AND CAUSED HIS FIRM TO VIOLATE FEDERAL RESERVE BOARD REGULATION T. NAC REJECT THE HEARING PANEL'S CONCLUSION THAT RESPONDENT ROETHLISBERGER'S SERIES OF INAPPROPRIATE DAY TRADES SHOULD BE TREATED AS A SINGLE VIOLATION. NAC ALSO FOUND THAT THE HEARING PANEL ERRED IN GRANTING RESPONDENT ROETHLISBERGER CREDIT TOWARDS HIS SUSPENSION. NAC THEREFORE MODIFY THE SANCTION IMPOSED BY THE HEARING PANEL TO REFLECT THESE FINDINGS. ACCORDINGLY, RESPONDENT ROETHLISBERGER IS SUSPENDED FOR 30 CALENDAR DAYS, AND REQUIRED TO REQUALIFY IN ALL CAPACITIES WITHIN SIX MONTHS. IN ADDITION, NAC INCREASE ROETHLISBERGER'S FINE FROM \$1,000 TO \$5,000 AND ORDER ROETHLISBERGER TO PAY A TOTAL OF \$3,663.52 IN HEARING COSTS. IF NO FURTHER ACTION, THE DECISION WILL BECOME FINAL ON JANUARY 20, 2004. THE DECISION IS NOW FINAL.
<b>Regulator Statement</b>	HEARING PANEL DECISION RENDERED ON JANUARY 30, 2003, WHEREIN RESPONDENT ROETHLISBERGER IS SUSPENDED FOR ONE MONTH, ORDERED TO RE-QUALIFY BY EXAMINATION IN ALL CAPACITIES BEFORE ASSOCIATING WITH A MEMBER FIRM, FINED \$1,000 AND ASSESSED A TOTAL OF \$2,457.94 IN COSTS (\$1,707.94 FOR THE HEARING TRANSCRIPT PLUS A \$750 STANDARD ADMINISTRATIVE FEE) FOR ENGAGING IN TRADES IN HIS CASH ACCOUNT, WHERE THE COST OF THE SHARES PURCHASED WAS TO BE MET BY THE PROCEEDS FROM SAME-DAY SALES OF THOSE SHARES, AND CAUSED HIS FIRM TO VIOLATE REGULATION T AND VIOLATED SECTION 7(F) OF THE EXCHANGE ACT, AND NASD RULES 2110 AND 2520(F)(9). RESPONDENT SHALL BE CREDITED WITH A THREE-MONTH SUSPENSION SERVED UNDER A SANCTION PREVIOUSLY IMPOSED BY HIS FIRM FOR THE SAME MISCONDUCT AND THUS HE NEED NOT SERVE ANY ADDITIONAL PERIOD OF SUSPENSION. THE RE-QUALIFICATION MUST OCCUR WITHIN SIX MONTHS OF THE DATE ON WHICH THIS DECISION BECOMES THE FINAL NASD DECISION. IF NO FURTHER ACTION, DECISION WILL BECOME FINAL MARCH 19, 2002. * THE DEPARTMENT OF ENFORCEMENT HAS APPEALED THIS MATTER TO NASD'S NATIONAL ADJUDICATORY COUNCIL ("NAC") ON FEBRUARY 28, 2003.



**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** 30 DAY SUSPENSION, \$5,000.00 FINE.  
REQUALIFICATION

**Date Initiated:** 03/14/2002

**Docket/Case Number:** C8A020014

**Employing firm when activity occurred which led to the regulatory action:** ASSOCIATED INVESTMENT SERVICES

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**

**Allegations:** NASD RULES 2110, 2520 (F)(9), SECTION 7 (F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND SECTION 3 (B) OF REGULATION X- RESPONDENT MAINTAINED A CASH ACCOUNT AT THE MEMBER FIRM.

**Current Status:** Final

**Appealed To and Date Appeal Filed:** THE DEPARTMENT OF ENFORCEMENT HAS APPEALED THIS MATTER TO NASD'S NATIONAL ADJUDICATORY COUNCIL (NAC) ON FEBRUARY 28, 2003.

**Resolution:** Decision

**Resolution Date:** 01/20/2004

**Sanctions Ordered:** Monetary/Fine \$1,000.00  
Suspension

**Other Sanctions Ordered:** REQUALIFY BY EXAMINATION IN ALL CAPACITIES AND COSTS

**Sanction Details:** ROETHLISBERGER SUSPENDED FOR 1 MONTH, ORDERED TO RE-QUALIFY BY EXAMINATION IN ALL CAPACITIES WITHIN 6 MONTHS OF THE DATE OF THE FINAL NASD DECISION. FINED \$1,000.00 AND ASSESSED A TOTAL OF \$2,457.94 IN COSTS. RESPONDENT IS CREDITED WITH A 3 MONTH SUSPENSION SERVED UNDER A SANCTION PREVIOUSLY IMPOSED BY HIS FIRM FOR THE SAME MISCONDUCT AND THUS HE NEED NOT SERVE ANY ADDITIONAL PERIOD OF SUSPENSION.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### **Disclosure 1 of 1**

**Reporting Source:** Individual  
**Firm Name:** ASSOCIATED INVESTMENTS SERVICES  
**Termination Type:** Voluntary Resignation  
**Termination Date:** 07/30/1998  
**Allegations:** VIOLATION OF REGULATION T-FREE RIDING  
**Product Type:** Annuity(ies) - Fixed  
**Other Product Types:**  
**Broker Statement** ASSOCIATED INVESTMENT SERVICES MERGED WITH ANOTHER INVESTMENT ENTITY. AFTER THE BANKS MERGED, THE ACTIONS OF MANAGEMENT FOR THE ONE YEAR PRIOR TO THE ALLEGATION LEAD TO ME RESIGNING, NOT THE ALLEGATION.



## End of Report

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